

DOCUMENT RESUME

ED 362 618

UD 029 539

TITLE Making Schools Work for Children in Poverty. A New Framework Prepared by the Commission on Chapter 1. Summary.

INSTITUTION Commission on Chapter 1, Baltimore, MD.

PUB DATE 92

NOTE 32p.; For the complete document, see UD 029 123.

AVAILABLE FROM Council of Chief State School Officers, One Massachusetts Ave., N.W., Suite 700, Washington, DC 20001-1431; American Association for Higher Education, One Dupont Circle, N.W., Suite 360, Washington, DC 20036.

PUB TYPE Reports - Evaluative/Feasibility (142)

EDRS PRICE MF01/PC02 Plus Postage.

DESCRIPTORS Academic Standards; Advisory Committees; Agency Role; *Children; *Compensatory Education; *Disadvantaged Youth; *Economically Disadvantaged; Educational Change; Elementary School Students; Elementary Secondary Education; Evaluation Methods; Federal Legislation; *Federal Programs; Financial Support; Guidelines; Poverty; *Program Design; Secondary School Students

IDENTIFIERS Commission on Chapter 1; *Education Consolidation Improvement Act Chapter 1; Hawkins Stafford Act 1988; State Role

ABSTRACT

This document summarizes the following eight-component framework of the Commission on Chapter 1 for restructuring the Chapter 1 program: (1) have states set clear, high standards for all students; (2) devise new systems for schools to assess progress toward standards; (3) inform parents about how well their children are progressing toward standards and how they can help; (4) invest heavily in teachers, principals, and other adults in schools so that all students meet standards; (5) match funding to need and assure equity; (6) replace accounting for dollars with accountability for results; (7) integrate health and social service support in schools and school districts for Chapter 1 families; and (8) have states reward schools that progress and change those that do not progress. Part 1 discusses issues and rationale for the recommendations concerning the role of Chapter 1, based on the eight framework components. Part 2 summarizes the proposed Chapter 1 framework based on the eight components, in terms of the following parameters: congressional findings and mission; standards; eligibility and fiscal requirements of local and state education agencies; help and capacity-building; parent empowerment; health and social services; assessment; enforcement (benefits and sanctions); and research, development, evaluation, and dissemination. (RLC)

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DECEMBER 1992

A New Framework Prepared by the Commission on Chapter 1

MAKING
Schools
WORK FOR
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IN POVERTY

S U M M A R Y

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COMMISSION ON CHAPTER 1

c/o American Association for Higher Education

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The Commission thanks the following people for the support of our work: at the Council of Chief State School Officers, Barbara West, Administrative Assistant, and at the Law Offices of William L. Taylor: Donna Cole, Administrative Assistant; Kanani Kauka, Business Manager; Elizabeth Heller Eto, Esquire; and Barry Kazan, Alicia Glekas, Dan Claman, Law Student Interns.

**Steering Committee*

Foreword

In December 1990, 28 educators, child advocates, researchers, and other concerned individuals came together to form an independent Commission on Chapter 1. We were a diverse group, with differing kinds of experience and expertise and differing views about many issues in education. But two things bound the group together—deep concern for how well economically disadvantaged children were faring in the public schools and how well they were being served by Chapter 1 of the Elementary and Secondary Education Act of 1965, the largest program of federal assistance to the schools.*

All of the members of the Commission have been vigorous in their support for the Chapter 1 program and believe that it has contributed significantly to the gains children in poverty have made over the last two decades. But we took the difficult step of conducting a thorough reexamination of the program because of growing evidence that, whatever its contributions in the past, Chapter 1 in its current form is inadequate to meet the challenges of the 1990s and beyond.

The document that the Commission has produced as a result of this reexamination is somewhat unusual in content. The bulk of the report consists of a "statutory Framework," which is in fact a draft of a virtually complete new Chapter 1 statute, along with section-by-section explanations and commentary.**

While many groups concerned with public policy in education, health, the environment, or other areas publish reports with detailed recommendations for legislative change, the drafting by private citizens of a complex statute is a rare endeavor. So a word of explanation is in order.

When the Commission began its deliberations, a consensus rapidly emerged that our work should be founded on the conviction shared by all of us that virtually all children can learn at high levels and that establishing lesser standards and expectations for children because of their economic circumstance should not be tolerated. The challenge, we decided, was to convert Chapter 1 from a law designed to teach poor children "basic skills" to one dedicated to spurring the

* Members of the Commission are listed on pages ii and iii. They serve in their individual capacities, and organizational titles are listed for identification purposes only. The Commission as a whole is an independent body not affiliated with any other organization. Support for the Commission's work came from the Edna McConnell Clark and John D. and Catherine T. MacArthur Foundations.

** It must be noted that the statutory Framework deals only with the operation of federal financial assistance to meet special needs of children in public schools. The Commission has not addressed the issue of how to deliver services to economically disadvantaged children who attend private and parochial schools. Nor does the Framework make any proposals regarding special needs other than the needs of economically disadvantaged children that are addressed in other parts of the Elementary and Secondary Education Act. Examples of these are programs specifically designated for migratory children, for handicapped children, for neglected and delinquent children, for limited-English-proficiency children, or for Native American children.

Finally, the Commission believes strongly in the importance of early childhood education to the development of economically disadvantaged children and throughout this report has noted its concerns that greater investments should be made in early childhood programs. But, given the fact that federal assistance to preschool education is rendered principally through the Head Start program, we have not included any comprehensive recommendation concerning early childhood education in this Framework.

kinds of educational change that would result in children born into poverty acquiring high-level knowledge and skills. The measure of high-level knowledge is that young people emerge from school qualified for college or for skilled and productive work and prepared to participate fully in the social and political life of the Nation.

From the outset, it was clear to the Commission that this challenge would not be met simply by making cosmetic changes in Chapter 1. The statute would have to be rewritten to bring about deep change in the way whole school systems operate.

The needs for such reform can be articulated in compelling rhetoric, which is the usual way reports of this kind are written. But questions would remain: Are the reforms practical? Can they be made to work together to achieve the desired objectives? What are the tradeoffs in framing the requirements of the law in different ways?

The Commission decided that the only way to answer these questions and put our ideas to the test was to subject ourselves to the discipline that members of Congress must undergo in drafting specific legislative language. What resulted from our decision was a difficult but productive process. Beginning in June 1991, each of the sections of the statutory Framework has gone through several drafts, in some cases as many as seven or eight. As Commissioners focused on specific provisions, questions arose as to how they would actually work, by themselves or in conjunction with other provisions, and whether the conclusions and courses of actions contained in the Framework were based on the best evidence available. The process produced new insights at every review and new changes as well.

Such a process, we discovered, also has its costs. For one thing, statutory language is rarely, if ever, scintillating prose that makes for compelling reading. Few people have rushed to the barricades after reading a section of the U.S. Code. In addition, we discovered again and again that agreeing on broad principles or precepts is often a great deal easier than agreeing on the specific words that will implement the principles.

Despite these drawbacks, we believe the process has proved very worthwhile. In a few cases, Commissioners have been impelled to note dissents or differences of view on particular points. In other cases, Commissioners have decided not to note the differences they may have with particular formulations because they agree with the overall point being made. Most important, the Commission emerges from the process strengthened in its convictions about the elements of a truly reformed Chapter 1, because we believe we have put our ideas and the ideas of many others to the test.

This is not the end of our process. The Commission intends to use the next several months in give and take with many who are knowledgeable and vitally concerned about educational opportunity for all children. We expect that new insights will be gained that will be useful in the legislative process. At the same time, Congress will be initiating a hearing process that will result in the expression of a wide variety of views on Chapter 1 reform.

We do believe, however, that having had almost two years to work on the issues, we are putting forward a report that identifies the major issues and that will focus and inform discussion in an upcoming debate that will be vital to American public education and to the future of millions of children.



The Intent of the Chapter 1 Program

The purpose of Chapter 1 of Title 1 of the Elementary and Secondary Education Act of 1965 (ESEA) is to provide financial assistance to local education agencies to meet the special needs of educationally deprived children who live in areas with high concentrations of children from low-income families. The Chapter 1 program represents the federal government's largest investment in elementary and secondary education, accounting for 19 percent of the U.S. Department of Education's total budget. In 1992, Congress appropriated \$6.1 billion for basic Chapter 1 services to States and school districts. These funds serve more than 5 million children—approximately one out of every nine school-age children in the United States.

The 1988 Augustus F. Hawkins-Robert T. Stafford Elementary and Secondary School Improvement Amendments (P.L. 100-297) sought to improve the educational opportunities of educationally deprived children by helping them succeed in their regular school program, attain grade-level proficiency, and improve achievement in basic and more advanced skills. The new priorities reaffirm the purpose of Chapter 1 as set forth in the foreword of the original statute (P.L. 89-10):

The Congress hereby declares it to be the policy of the United States to provide financial assistance to local educational agencies serving areas with concentrations of children from low-income families to expand and improve their educational programs by various means (including preschool programs) which contribute particularly to meeting special educational needs of educationally deprived students.

NATIONAL ASSESSMENT OF THE CHAPTER 1 PROGRAM

Interim Report

U.S. Department of Education

June 1992

Issues and Rationale for the Commission's Recommendations



In 1983, on the release of *A Nation at Risk*, the Chairman of the National Commission on Excellence in Education summarized the Commission's central conclusion with these words:

We expected less of our young people, and they gave it to us.

Across America, heads nodded in response. These words had more than a ring of truth for millions of parents, grandparents, and other observers of contemporary education, who had watched—and worried—while a generation of young people seemed to progress through school literally without intellectual challenge.

Left unspoken at that time, however, was an even more painful truth: that the *low* expectations in our suburban schools are *high* in comparison to expectations in urban schools and rural schools with concentrations of children in poverty. And that this absence of challenge, of rigor, is dulling the minds and dashing the hopes of millions of America's children. Our low expectations are consigning them to lives without the knowledge and skills they need to exist anywhere but on the margins of our society and consigning the rest of us to forever bear the burden of their support (see Figure 1).

That minority and low-income children often perform poorly on tests is well known. But the fact that they do so because we systematically—and willfully—expect less from them is not. Most Americans assume that the low achievement of poor and minority children is bound up in the children themselves or their families. "The children don't try." "They have no place to study." "Their parents don't care." "Their culture does not value education." These and other excuses are regularly offered up to explain the achievement gap that separates poor and minority students from other young Americans.

But these are red herrings. The fact is that we know how to educate poor and minority children of all kinds—racial, ethnic, and language—to high levels. Some teachers and some entire schools do it every day, year in and year out, with

Figure 1
Number and Percent of U.S. Children Under 18 In Poverty,
By Race and Hispanic Origin*, 1990 Census

	Number Of Children In Poverty 1990 census	Percent Of Children In Poverty 1990 census	Percent Increase In Poverty Rate 1980 census to 1990 census
United States			
All races	11,128,916	18.3	14.1
White	5,876,267	12.5	13.1
African-American	3,717,128	39.8	5.2
Hispanic *	2,407,466	32.2	10.8
Asian-American	346,491	17.1	14.5
Native American	260,403	38.8	19.2

*Hispanics may be of any race

SOURCE: *The Challenge of Change: What the 1990 Census Tells Us About Children* 63 (Center for the Study of Social Policy, September 1992).

outstanding results. But the Nation as a whole has not yet acted on that knowledge, even though we need each and every one of our young people to master high-level knowledge and skills.

Instead, to those who need the best our education system has to offer, we give the least. The least well-trained teachers. The lowest-level curriculum. The

THE ROLE OF CHAPTER 1

Against this backdrop of patently unequal opportunity to learn, the federal Chapter 1 program has sought to shore up the achievement of those at the bottom. Enacted in 1965, Chapter 1 was part of a powerful demand that American society live up to its ideals by extending equal opportunity to all. Since then Chapter 1 has distributed more than \$70 billion to schools with concentrations of poor children to pay for extra help for students who need it. It touches one of every nine children; it influences what happens in over one-half of the schools in the country (see Figure 2).

Primarily through Chapter 1 and related efforts, poor and minority children have gained considerable ground during the past 25 years. In the 1960s, such children dropped out of school at alarming rates; most didn't even master very basic skills. Today, virtually all poor and minority children master rudimentary skills, and graduation rates have increased dramatically for all but Latino students. In fact, in just 15 years, the achievement gap separating poor and minority children from other young Americans declined by nearly half, although there are ominous signs that these trends are now reversing (see Figures 3a, 3b, and 4).

But while thousands of dedicated Chapter 1 professionals and paraprofessionals were providing extra services to students who needed help mastering the basics, the rules of the game changed. Basic skills no longer count for as much as they once did. To find a secure place in the increasingly competitive and technological international economy, young people must be able to think, to analyze, and to communicate complex ideas.

Yet these needs were at odds with the original approach of Chapter 1: catch up. Most Chapter 1 employees—indeed most educators—believed that the “basics” had to be learned prior to the “big ideas” and concepts, even though research findings clearly say such learning should be simultaneous. So, largely through pullout programs of 25-30 minutes per day, children in Chapter 1 learn and relearn discrete

Figure 2
Chapter 1 Funding and Participation Trends, Selected Years

Year	Appropriations (Inflation Adjusted) Constant 1991-92 \$ in Billions	Participation Millions	Chapter 1 \$/ Participant Funding (1991-92 \$)	(1991-92 \$) Total Elementary/ Secondary \$/Pupil
1979-80**	4.729	5.162	916	3,718
1980-81**	4.188	5.076	825	3,681
1982-83	3.544	4.448	797	3,853
1985-86	4.049	4.740	854	4,419
1988-89	4.330	5.047	858	4,912
1990-91	4.902			
1992-93	5.944			

**Includes both Basic and Concentration Grants.

Source: National Assessment of the Chapter 1 Program: Interim Report 146 (U.S. Department of Education, June 1992).

oldest books. The least instructional time. Our lowest expectations. Less, indeed, of everything that we believe makes a difference.

Of course, these children perform less well on standardized tests; the whole system conspires to teach them less. But when the results come in, we are only too happy to excuse ourselves and turn around to blame the children or their parents.

PART I
Issues and Rationale

Figure 3a
NAEP Reading Scores, 9-Year-Olds
For White and African American Students

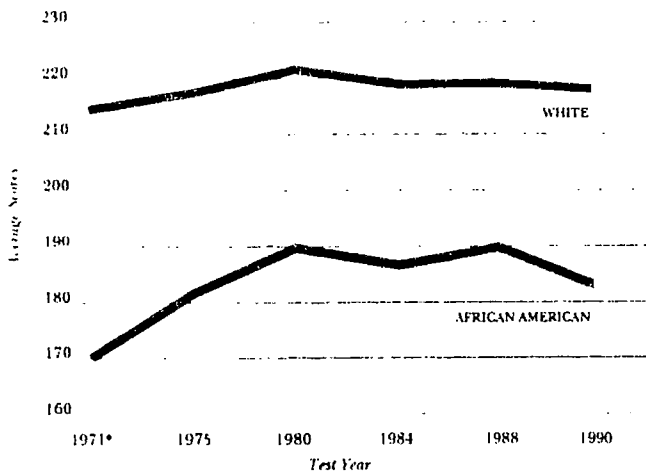
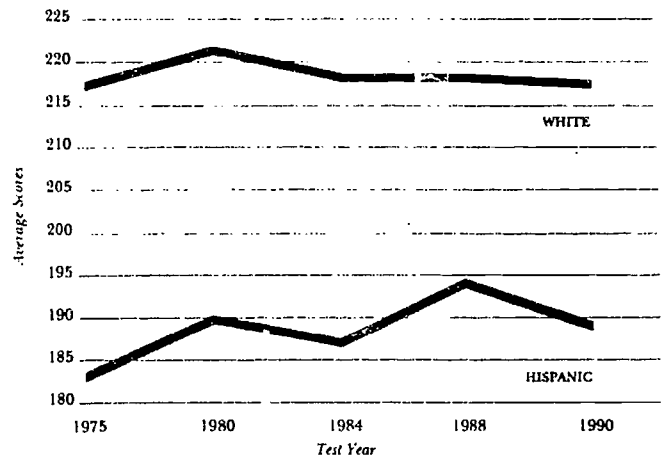
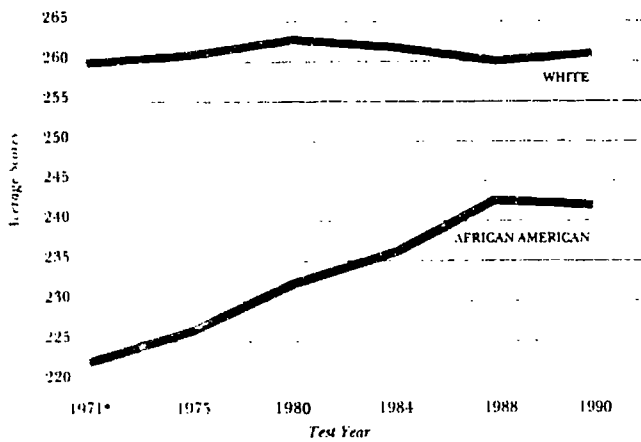


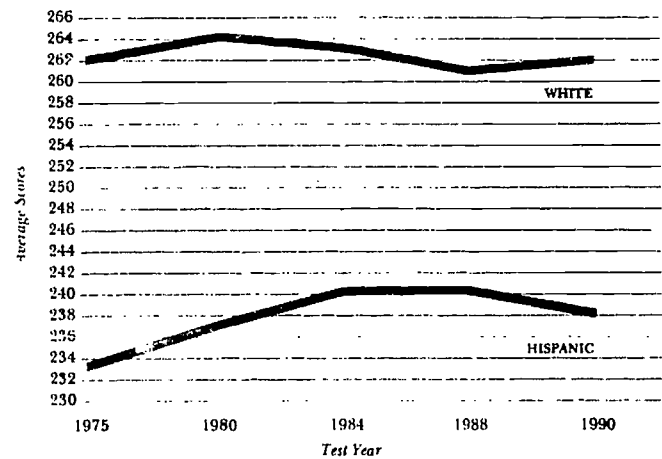
Figure 3b
NAEP Reading Scores, 9-Year-Olds
For White and Hispanic Students



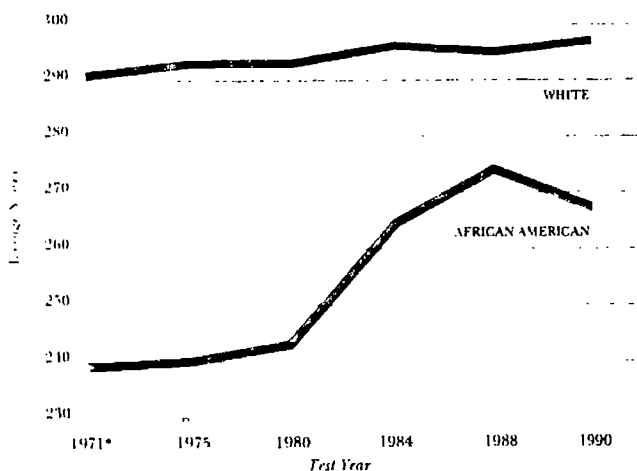
NAEP Reading Scores, 13-Year-Olds
For White and African American Students



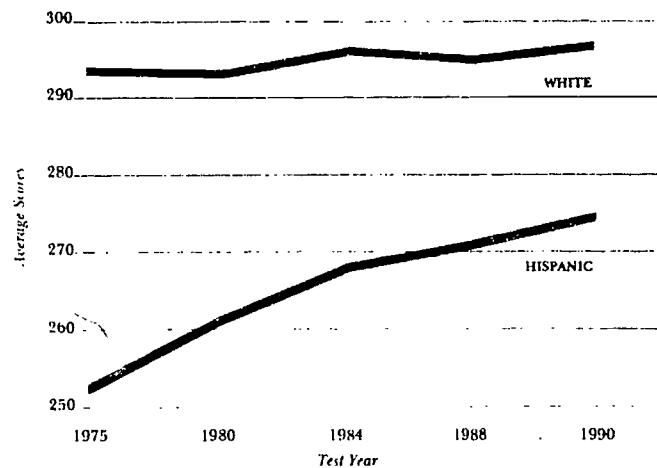
NAEP Reading Scores, 13-Year-Olds
For White and Hispanic Students



NAEP Reading Scores, 17-Year-Olds
For White and African American Students



NAEP Reading Scores, 17-Year-Olds
For White and Hispanic Students



* The 1971 assessment scores for whites included scores for Hispanics; the scores for whites for the other assessments did not.

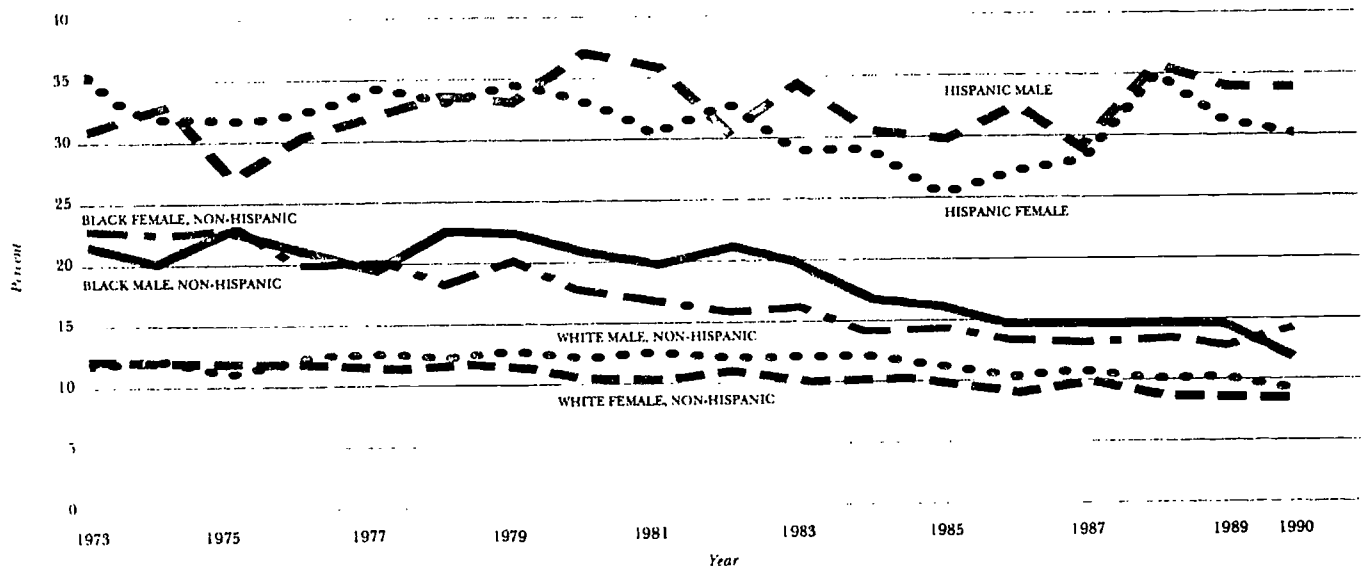
SOURCE: NCES, *Trends in Academic Progress*, 1991.

NOTE: Scores for Hispanics are not available for 1971.

SOURCE: NCES, *Trends in Academic Progress*, 1991.

PART I Issues and Rationale

Figure 4
Status Dropout Rate, Ages 16-24, by Race-Ethnicity and Sex:
October 1973 Through October 1990



SOURCE: NCES, *Dropout Rates in the United States: 1990*.

low-level skills. They rarely know what it is like to attempt interesting content or to use knowledge creatively. Rather than experiencing the joy of wrestling with ideas, these children are more likely to spend their time circling *m*'s and *p*'s on ditto.

Acutely aware of the need for change, Congress acted in 1988 to shift Chapter 1 to higher ground. When federal lawmakers reauthorized the law that year (as they have done every five years), they sought to focus instruction on high-level, as well as basic skills, to connect Chapter 1 to the regular program and to make schools accountable for progress.

Enough time has now passed to evaluate the effects of these changes. Sadly, they were nowhere near enough. The program needed an overhaul from top to bottom; what it got was a mere tuneup.

MOVING FORWARD

The 1993 reauthorization must go farther. Chapter 1 must change fundamentally this time.

What are the most critical deficiencies?

- 1 A continued focus on remediation that denies the richness of learning to those who need more, not less, of what makes education engaging and exciting;
- 1 So much focus on accounting for dollars that attention is deflected from results;
- 1 Resources spread too thinly to make a difference in the neediest schools;
- 1 Methods for evaluating progress that are antiquated (and downright harmful); and
- 1 A perverse incentive structure that discourages schools from working hard to improve student performance.

But the core problem with Chapter 1 is even more basic: its "add-on" design, wherein eligible students get extra help to succeed in the regular school program, cannot work when the regular school program itself is seriously deficient. Like additions to a house on a crumbling foundation, these extras can never fulfill their purpose. Unless regular teachers and building

administrators see getting these children to high levels of achievement as *their* responsibility—and unless they are equipped with the skills to do so—the children will simply never make it. For no matter how wonderful the staff in special programs or how terrific their materials and equipment, they cannot compensate in 25 minutes per day for the effects of watered-down instruction the rest of the school day and school year. And watered-down instruction is precisely what most poor children get.

If Chapter 1 is to help children in poverty to attain both basic and high-level knowledge and skills, it must become a vehicle for improving whole schools serving concentrations of poor children. There is ample evidence to show that under optimum teaching and learning conditions—those with high expectations and skilled instruction—children *will* learn at high levels. The proof is consistent: those encouraged to work with challenging content, to solve problems, and to seek meaning from what they study will make far greater academic progress than students limited to basic skills instruction.

So, rather than simply building good programs, we must build good schools. We know how to teach *all* students successfully; there can be no excuses anymore for continued failure to do so.

A NEW FRAMEWORK

Outcomes for poor children won't change if we simply layer these ideas in the form of additional policies and mandates on to a structure that has become obsolete. Consequently, the Commission on Chapter 1 proposes an entirely new Framework, fundamentally and profoundly different. This new Framework does not tinker. It rebuilds boldly.

At the core of the new Framework are three unequivocal beliefs: that all children can learn more, that virtually all children can learn at high levels, and that there is a solid foundation of knowledge on which teachers and principals can draw to make this happen in every one of our schools. Our message to the teachers, principals, and other adults in schools serving poor children is this:

■ You hold in your hands the keys to the future for poor and minority children. If you have high expectations for their achievement, establish clear standards for student work, employ instructional practices with demonstrated effectiveness, and enlist parents and others in reducing barriers to learning, your students absolutely will achieve at much higher levels.

■ The evidence in support of these beliefs is so convincing that we have proposed a new "compact" between the federal government and the schools serving poor children. *You* make the decisions on how to get students to high standards and how to spend your Chapter 1 money. Rather than second guessing your decisions, the *government* will invest heavily in assuring that your knowledge and skills are at their peak and that you have adequate resources at your disposal, and then hold you accountable for results.

The new Chapter 1 must be aimed at producing good schools, not simply good programs. Our goal must be high-quality schools for poor children—no exceptions, no excuses—with skilled teachers and administrators, trained, empowered, and organized to make sound decisions about the curriculum, instruction, and extra help that it will take to enable all students to meet uniformly high standards of performance.

But how does a federal program that has focused on *services* for 27 years begin to transform *whole schools*, especially when program funds amount to only a small fraction of the elementary and secondary education budget? The Commission's Framework has an eight-part answer:

■ **First**, each State must set clear, high standards for what all students should know and be able to do. These must be the same for all students: poor and rich, minority and white, Chapter 1 and non-Chapter 1. Schools are responsible for ensuring that all students are provided with curriculum, teaching practices, and assistance needed to attain these standards.

3 Second, do not require the low-level, norm-referenced, fill-in-the-bubble tests currently used to assess progress in Chapter 1. In their place, schools should develop ongoing means of evaluating the progress of individual students toward the standards, and States should administer new, richer, performance-based systems that measure school progress in enabling students to reach the State standards.

subject matter and instructional practice. At the national level, we should invest in research, development, and dissemination of effective programs and strategies for schools with high concentrations of poverty.

4 Fifth, funding for this program should be concentrated more heavily in schools with concentrations of children in poverty, where the needs are far greater than in low-concentration schools. Also, Chapter 1 should be used as a lever to induce states to deal with tremendous disparities within their borders in providing educational services. If a level playing field is not provided, the notion that Chapter 1 provides for the "special needs" of disadvantaged youngsters becomes a fiction.

5 Sixth, current requirements that force schools to tie expenditures to individual students should be eliminated, along with perverse incentives that withdraw funding when schools make progress. Schools should receive funding based on the number of poor children they enroll and should be free to spend it in whatever ways they believe will best help students meet the standards. Rather than accounting for dollars, schools should be held accountable for results.

6 Seventh, schools and districts should help out with family needs as well as those of children by integrating health and social services into the support system for Chapter 1 families.

7 Eighth, States must develop and enforce a system of incentives that rewards schools that make progress in increasing the numbers of their students who reach the standards and decreasing the number who do not even reach a low standard—and that assures change in those schools that do not make such progress. Schools in the latter category should receive considerable help. Where that help does not result in progress within a specified period, however, States must allow students to transfer out to a successful school and act immediately to change the educational environment or remove school officials (see Figure 5).

These eight components are designed to work together. To have the desired effect on schools and, more important, on student outcomes, they cannot be decoupled. The following section describes the rationale for each in more detail.

Figure 5

Chapter 1: Key Changes At A Glance

Current	Proposed
● low standards, different from other children	● same high standards for all children
● low-level tests that compare students to one another, rather than to objective standards	● performance-based assessment evaluating students' progress toward standards and how to help
● separate, pullout instruction away from other children	● rich instruction and support in the regular classroom
● little training for employees	● generous investment in improving professional knowledge and skills
● money spread thinly	● greater concentration of dollars in high-poverty schools
● detailed accounting for dollars	● accountability for results
● successful schools lose money; little change in failing schools	● rewards for successful schools; help—then sanctions—for schools that do not improve

8 Third, instead of useless information on what "percentile" or "stanine" their child is in, parents should get clear information at least annually on the progress of their students toward the standards, on what the school is doing, and how they can help.

9 Fourth, we should invest generously—at least 20 percent of our Chapter 1 dollars—in assisting teachers, principals, and other adults in the school with the various tasks involved in transforming their school so that all students reach the standards. This help should include assistance in developing the overall capacity and focus of the school and assistance in reorienting the curriculum and deepening their knowledge of both

THE EIGHT FRAMEWORK COMPONENTS

■ **Component One: Have States Set Clear, High Standards**

The Commission believes that clear, high standards are an important first step toward transforming education in schools serving concentrations of poor children. The Commission also believes that standards should be the same in all schools, whether they serve rich or poor children. Consequently, we have included in our Framework requirements that each State develop standards of three types:

- content standards that set forth the knowledge and skills that all students must acquire;
- performance standards that establish the degree of proficiency expected of students at particular grade levels in meeting the content standards; and
- delivery standards that assure that students have a meaningful opportunity to meet the standards.

These standards, as well as any added by local communities, should drive the education of students. They should be used as the basis for State curriculum guides and frameworks, for textbook review, and for new assessment systems. Professionals in each school must have considerable latitude in developing detailed curricula and in choosing instructional strategies, but these must be carefully designed to get all students to the State standards.

It is vitally important that Chapter 1 schools be part of the national move toward high standards. Already suffering the effects of low expectations, children served by Chapter 1 would be irreparably crushed if their education were not geared to get them to the same standards as are being developed nationally by professionals in key subject areas.

■ **Component Two: New Systems to Assess Progress Toward Standards**

High standards are useful to teachers, parents, and policymakers only if they have a means of assessing whether students meet them. Currently, however, the tests mandated by Chapter 1 do not provide useful information on what students know and do not know. Instead of evaluating student progress toward important standards, these tests compare students with one another.

The Commission believes that the current reliance on narrowly constructed tests has invidious consequences, not only in Chapter 1 schools but throughout the educational system. These tests often stand in the way of more challenging teaching and learning because they emphasize discrete bits of knowledge and de-emphasize broader knowledge, especially that beyond reading and math. Studies of Chapter 1 instruction repeatedly have found that much of the time children could be focused on challenging content is spent, instead, on coaching for these narrow tests.

—Continued next page

Component Two *continued*

Fortunately, assessment programs in many States and communities are moving in new directions. They focus considerably more attention on higher order learning and employ more "authentic" techniques for evaluating student work. Because of the power of these new approaches in improving instruction, it would be terrible if Chapter 1 schools were left out of this movement because of regulatory requirements.

To assure that Chapter 1 schools are not left behind once again, the Commission Framework calls for a new, three-pronged approach to assessment that will generate information on:

- the progress of individual students in meeting State standards, to be used by teachers to improve curriculum and instruction and by parents to evaluate their children's progress;
- the national impact of Chapter 1 in enabling schools to get increasing numbers of poor students to high standards, to be used by Congress to judge the impact of the program; and
- the progress of individual schools and districts in enabling increasing numbers of their students to meet the standards, to be used as the foundation for a new outcomes-based accountability system to replace the current system, which requires schools to account for dollars rather than results.

■ Component Three: Inform Parents on How Well Their Children Are Progressing Toward the Standards and How They Can Help

Experience with Chapter 1 has taught teachers, administrators, policymakers, and parents themselves how vital family support is to a child's success in school. Before Chapter 1, low-income parents were often locked out of their children's school lives. Through Chapter 1, many parents were brought into the decision-making process, learned coping skills for themselves, and became advocates for their children.

For the past decade, however, parent involvement through Chapter 1 has been muted. The Commission believes that it must be renewed with vigor, drawing on new knowledge about how best to encourage the involvement of parents in their children's education.

There are many ways that schools can encourage parents to help their children. The new Framework allows schools discretion, yet encourages them to look beyond familiar but often superficial strategies such as asking parents to serve on advisory committees or sending them newsletters. The Framework looks toward other strategies that will enlist parents in monitoring their children's progress and working with the school to improve it, and also in monitoring the overall progress of their school. The Commission strongly suggests that a school's plans for including parents recognize the importance of enhancing family literacy. If we want students to succeed, then we also must help parents improve their own literacy skills, including non-English-speaking parents who are not literate in their home language.

■ **Component Four: Invest Heavily in Teachers, Principals, and Other Adults in the School**

The resources of Chapter 1 must be invested where they count the most—in people, specifically in teachers and building administrators. The tasks assigned by this Framework to building-level educators are numerous and complex. They include developing curriculum, redesigning instruction, planning staff development, and organizing student assistance to enable all students to meet the standards. They require educators to both think and act in entirely new ways. If the professionals in Chapter 1 schools don't get generous help as they proceed, their results will fall short of meeting the Nation's needs.

Much is known about how to improve learning outcomes for poor and minority children. This information must be shared with building-level professionals in settings that genuinely engage them with the content, with each other and outside experts—and that provide follow-up observation, coaching, and support.

But professionals must be helped, too, to learn how to invent as they go, because circumstances, school histories, and capacities vary significantly. They must have time and support to experiment, to evaluate, and to analyze. They must themselves become a learning community—focused on improving student learning.

Accordingly, this Framework calls for:

- a substantial (and increasing) set-aside for professional and school development;
- school-level decision making about professional development needs; and
- State responsibility for assuring the availability in all regions of high-quality providers of professional and school development services.

The Framework also recognizes that while we already know a great deal about "what works," there are needs to improve and fine-tune what we know and to test new approaches. Thus, at the national level, the Framework calls for a small percentage of Chapter 1 dollars to be earmarked to support research, development, evaluation, and dissemination of effective programs and strategies for educators of disadvantaged children.

■ **Component Five: Match Funding to Need and Assure Equity**

All children deserve equal opportunities to learn. This is why Chapter 1 exists.

Over the years, it has become clear that the greatest educational needs exist in schools with the highest concentrations of economically disadvantaged students, but the funding formulas under Chapter 1 barely reflect this knowledge. The Framework calls for better targeting of funds to the districts and schools with the greatest needs. While all or almost all districts would continue to participate, schools with the largest concentrations of children in poverty would receive greater sums.

—Continued next page

Component Five *continued*

Resource problems, however, are not limited to the use of federal funds. Chapter 1 has been built on a fiction—that States and localities provide a level playing field for all students and that Chapter 1 funds go to meet special needs of disadvantaged students. The reality is that millions of disadvantaged students live in property-poor urban and rural areas that cannot generate sufficient dollars for education even when citizens tax themselves highly. A lack of affordable housing and continued racial discrimination prevent the families of these children from moving to districts that provide better education.

Rather than calling for exact dollar equality among districts in expenditures, the Framework proposes that States assure comparability in the provision of important education services. Experience tells us what education services make a difference to children, particularly those who are disadvantaged. Services include preschool programs, reasonable class sizes, and teachers who are experienced and working in the areas in which they received training. States must assure that no child is deprived of these services and the opportunity to learn because of the workings of archaic systems of financing schools.

■ **Component Six: Replace Accounting for Dollars with Accountability for Results**

Beyond problems with the required tests, the current Chapter 1 accountability structure has two particularly troublesome features:

- it focuses too much attention on documenting the expenditure of dollars on “eligible” students and too little attention on the academic progress of such students; and
- it punishes improvement by withdrawing dollars from schools that succeed.

The Commission proposes to deal with the latter problem—perverse incentives—by providing funds to schools based upon their enrollment of poor students. Funding would not decline if student performance improved.

The Commission proposes to deal with the former problem—excessive regulation of expenditures—by eliminating the concept of student eligibility and providing schools with flexibility on how to spend their Chapter 1 funding. Rather than pre- or post-tests and labels for “Chapter 1 children,” all students in participating schools are “eligible.” The focus will be on making the regular program as rich as possible, rather than on isolated, pullout services. Then, teachers and schools decide who needs special help at any point and how to provide it.

The new accountability system will be based on student outcomes, rather than on expenditure of dollars. The Commission’s recommended enforcement structure (see Component 8) will provide continuing flexibility to schools that make adequate progress in getting increasing numbers of students to state standards, but will require changes in schools that do not make such progress.

PART I
Issues and Rationale

■ **Component Seven: Integrate Health and Social Service Support**

Everyone knows that when children are ill, or hungry, or in other kinds of distress, it is harder for them to do well in school.

Dealing fully with these external barriers to learning is beyond the purview of an aid-to-education statute, but the Commission calls for a start by enabling schools to use Chapter 1 resources to coordinate the provision of health and social services and by asking that Governors of the States accept responsibility for preparing a plan to eliminate health and social barriers to learning. The Framework also notes an appropriate role for education officials and encourages State and local education agencies to promote co-location of social and health services at school sites—services such as the screening and treatment of children for vision, hearing, and dental problems. The Framework would also require school districts to assure that children are immunized before entering schools and screened for conditions that impair learning, such as lead exposure and abuse or neglect.

■ **Component Eight: Reward Schools That Progress and Change Those That Don't**

From the beginning, there has been a tension within Chapter 1 between setting parameters and allowing flexibility. The legislative history of this program is strewn with attempts to work out how best to hold the educators accountable, while not strangling them with requirements.

The Commission believes that the best way to hold educators accountable is with student outcomes. While the Commission is not unmindful of the many reasons why the current system focuses on inputs, we see this as counterproductive. We have therefore proposed in our Framework an outcomes-based accountability system that provides tremendous flexibility to local educators, yet guarantees adequate progress of students in meeting State standards.

Each State will be required to develop an enforcement system in keeping with principles set forth in the Framework. Schools that make adequate progress in increasing the numbers of students at the highest levels and in reducing the numbers at the bottom will be rewarded in concrete ways. Schools that do not make progress will receive considerable assistance. If they still do not make progress, States must act through a series of graduated steps to "change the educational environment" in the school. Such steps might include withdrawing flexibility, replacing school leadership and/or other staff, or imposing other sanctions. In any event, students who attend consistently failing schools will have the absolute right to transfer to successful schools, with transportation provided.

CONCLUSION:

*The Broader Context
for Reform*

Over the course of the next 18 months, we—the President, the Congress, and the American people—will make a decision that will affect the life chances of millions of American children. The decision will focus on what changes to make in the largest federal program of assistance to elementary and secondary education—the Chapter 1 program. Determinations whether to change the program fundamentally, as suggested in this Framework, or to make more modest improvements will be made at a time when there is widespread discontent, not simply with schooling for poor children but with the quality of public education generally. This broad concern is fueled by the decline in the economic status of the Nation and a widespread belief that the flaws in our education system are making the United States less and less competitive.

Despite the depth of concern, the outcome of the current reform effort is far from certain. In our judgment, one of three things may happen:

■ The drive for reform may falter entirely because of an unwillingness on the part of politicians, educators, and citizens to make the structural changes and to provide the resources that are needed to make a real difference in American public education. If this happens, we will all be losers.

■ The drive for reform—like past drives—may yield dividends only in wealthy school districts around the Nation, districts that already have substantial resources and that serve mainly advantaged children. If that happens, there will be a few winners, but society as a whole and most of its citizens will be losers.

■ The drive for reform may be strong enough to work changes in public schools throughout the Nation. The changes may attract the most able and dedicated people to teach in public schools and involve parents and communities in supporting their youth and educating all children. If that happens, we will all be winners.

The new Framework, developed by the Commission on Chapter 1 through two years of diligent discussions and negotiations, is offered with the conviction that the third result—nationwide systemic reform of public education that provides new opportunities to children of all races and economic stations—is not only possible, but within our reach.

Summary of the New Chapter 1 Framework



SECTION I

FINDINGS AND MISSION

In this section, the Commission has sought to distill the experience of the last quarter century with federal aid to meet the education needs of disadvantaged children and to lay a predicate for the reforms contained in this Framework. In a series of findings and in a mission statement, the Commission outlines its vision for a new Chapter 1 based on high expectations and high standards for children from low-income families.

1 There are two core findings that, if accepted, will change the way Chapter 1 operates:

- that all children, including those who are economically disadvantaged, can learn and that virtually all children have the capacity to acquire the high-level knowledge and skills in a broad range of subjects that will allow them to participate fully in the economic, social, and political life of the Nation [§I(A)(2)]; and
- that the most urgent need for educational improvement—and hence, for federal assistance—is in schools with high concentrations of children from low-income families. [§I(A)(1)].

2 Additional findings recognize the school as the primary unit in need of change and improvement; the existence of effective strategies for educational improvement and the entitlement of all students to a curriculum and teaching practices that embody such strategies; the central role of parents as first educators

of their children; and the responsibility of schools and other public agencies to work together to ensure that students receive the health and social services they need in order to learn. Other findings identify the need to eliminate barriers to learning, including inadequate education resources, ineffective tests and testing practices, and lowered expectations for poor children; and harmful instructional practices, including tracking and separating children from the regular classroom. [§I(A)(3)-(13)].

3 The Mission Statement outlines the means to be used to accomplish the central objective of the new Chapter 1: to use federal aid to assist disadvantaged children, and particularly those who attend schools with high concentrations of poverty, in attaining high-level skills and knowledge. The means include expanding preschool opportunities; helping to establish a broad and challenging curriculum in a range of subjects at each Chapter 1 school; building the capacity of all participants in the school community to meet the needs of all students; and establishing methods of school, district, and State accountability, including both incentives and sanctions, to assure that this Mission is achieved. [§I(B)].

SECTION II

STANDARDS

Recognizing that children from low-income families have been shortchanged by low expectations and standards, this section sets forth the duties of States, school systems, and participating schools to establish high-level standards for all students in Chapter 1 schools, standards that are at least equivalent to those set for children who attend non-Chapter 1 schools.

1 Primary responsibility for setting standards is placed on the states and not on the federal government. Each State educational agency (SEA) is required to develop and submit to the Secretary of Education for



approval a comprehensive set of standards in three areas—content, performance, and delivery. [§II(B)(1)]. The overarching standard is that all children must acquire the ability to reason, read, understand, interpret, and analyze complex material in a broad range of academic subjects; to use qualitative skills for planning, analysis, and problem solving; to speak and write effectively; to produce as well as to reproduce knowledge; and to work cooperatively in teams, as well as to think and act independently. [§II(A)(1)(a)].

2 State content standards are to set forth the knowledge and skills that schools must teach to enable all students to attain high levels of proficiency. [§II(A)(1)(b)(i)]. The content standards must encompass not just the traditional Chapter 1 subjects of reading and mathematics, but also writing, science, history, and geography, and must incorporate the best standards set by professional associations and learned societies. [§II(A)(1)(c)].

3 State student performance standards are to establish the degree of proficiency expected of students in meeting the content standards and a range of intermediate standards to serve as indicators for assessing progress at various stages. Each State will spell out what knowledge and skills are needed to reach “partially proficient,” “proficient,” and “advanced” levels of achievement at four grade levels. [§§II(A)(1)(b)(ii) and II(A)(1)(d)].

4 State delivery standards include a series of measures to assure that schools and teachers are provided with the means to meet the content standards and that students have a meaningful opportunity to meet the performance standards. Delivery standards will include, for example, the employment of appropriately trained, certified staff who are teaching in their areas of training or certification; the provision of appropriate materials and equipment; and the maintenance of facilities that are clean, safe, and drug free. [§§II(A)(1)(b)(iii) and II(A)(1)(e)].

5 The section further requires that school districts and participating schools take steps to inform members of the school community about the new State standards, to consider whether to adopt supplemental local standards, and to revise their curriculum and instruction in accordance with the new standards. [§II(C)].

SECTION III

**ELIGIBILITY AND FISCAL
REQUIREMENTS**

This section spells out the requirements that must be met by school districts and schools, as well as by State educational agencies, in order to receive Chapter 1 funds. The section also prescribes permissible uses of Chapter 1 dollars and outlines the formulae by which the funds will be allocated within States to the SEA and to school districts and schools.

1 While local educational agencies (LEAs) with 10 or more poor children will continue to be eligible for Chapter 1 assistance, the SEA will allocate Chapter 1 funds to LEAs according to a formula that will weight the aid on a sliding scale toward the highest poverty LEAs in the State. [§III(A)(1) and III(A)(3)(b) and (c)].

2 A school will be eligible to receive Chapter 1 funds if its percentage of poor children is at least 30 percent or is at least that of the LEA as a whole. The current "no-wide variance rule" that allows many very low poverty schools to participate would be deleted. Provision is made for certain otherwise ineligible schools to be served when such schools participate in a desegregation plan. [§III(A)(4)].

3 LEAs are required, however, to channel funds only to that number of schools in which high-quality programs can be delivered. Allocations to schools will be based solely on the number of children from low-income families enrolled, and will not be based on the number of low-achieving students. [§III(A)(5)].

4 The Framework deletes all child-eligibility requirements currently in the law, eliminating, for example, the requirement to serve only children identified as "educationally deprived" in particular subject areas and grades. Instead, participating schools and school districts will determine how best to allocate resources to ensure that all children, including all children from low-income families, move toward high levels of proficiency. [§III(A)(6)].

5 LEAs may use Chapter 1 funds for a broad range of educational purposes designed to help students and schools attain the standards. Safeguards are maintained, however, to assure that programs and expenditures are comparable among participating and nonparticipating schools and that Chapter 1 dollars supplement, rather than supplant, local efforts. [§III(A)(7)].

6 States must comply with all portions of the law in order to receive Chapter 1 assistance, including a new provision to require comparability of "essential educational services" among all schools and school districts in the State. [§III(B)(1)]. The Secretary of Education is required to collect and publish data necessary to determine compliance and to assess the impact of school finance systems on resources available to disadvantaged students. This provision is intended to deal with the gross inequities that frequently result from State finance systems and that often deprive economically disadvantaged students of needed educational resources. [§III(B)(2)].

7 States may reserve for the SEA certain percentages of their allocation necessary to fund capacity-building programs, to administer and develop new assessments and accountability systems, and to administer the program. [§III(B)(3)].

SECTION IV

HELP AND CAPACITY-BUILDING

This section identifies the steps to be taken by schools to strengthen instruction and by school districts and SEAs to assist schools in that process.

- 1** The cornerstone is a biannual school achievement plan that each participating school will develop with input from the entire school community, including parents, teachers, the principal, and other staff. In preparing its plan, each school is asked to analyze student achievement patterns and progress toward the standards and then to identify steps it will take to improve students' performance. The plan will include staff development and parent involvement components, a budget, and a timeline for school improvement activities. [§IV(A)(2)(a)(i) and (ii)].
- 2** Each participating school must spend at least 10 percent in years 1 and 2, 15 percent in year 3, and 20 percent in each year thereafter on staff development and school improvement efforts. [§IV(A)(3)(a)].
- 3** Participating schools must also take steps to ensure that individual students who have trouble meeting the standards are provided with effective extra help, as determined by the school, in consultation with parents. [§IV(A)(2)(a)(iii)].
- 4** LEAs are permitted (although not required) to develop districtwide capacity-building programs, which, like the school-based efforts, must be based on an analysis of student achievement patterns. LEA programs will serve to assist participating schools in preparing their achievement plans, in identifying needs for staff development, in coordinating staff and parent training among schools with similar needs, and in evaluating services and programs purchased with Chapter 1 dollars. [§IV(A)(2)(b)].
- 5** Because the Commission views the upgrading of teacher skills as a very high priority, the Framework calls on States to design and carry out a strategy to

ensure the availability to participating schools of high-quality professional development and school improvement assistance. SEAs must inventory and analyze available sources of such assistance, take steps to increase the availability of high-quality assistance, and disseminate to schools and school districts information about effective educational practices and programs available to them. [§IV(A)

(2)(c)]. To carry out these purposes, a percentage of each State's total allocation is reserved to SEAs to enable them to award capacity-building grants to organizations, universities, school districts, and others. Eight percent is reserved in 1994 and 1995, seven percent in 1996-1998, and four percent in each year thereafter. [§IV(A)(3)(c)]. SEAs

are also required to assist LEAs and schools in assuring that curriculum is aligned with the State's standards by developing curriculum frameworks and models. [§IV(B)].

7 The Secretary is directed to publish and disseminate widely to educators and parents "Guidelines for Effective Staff Development and School Improvement," with an emphasis on effective approaches to educating disadvantaged children and to schoolwide reforms. [§IV(A)(5)].

8 To attract and retain the most capable teachers at schools serving disadvantaged students, a new federal program will be established, in addition to Chapter 1, to provide bonuses to teachers employed in participating schools with enrollments of at least 75 percent economically disadvantaged children. In addition, these teachers must be certified by the National Board of Professional Teaching Standards. [§IV(C)].



SECTION V

**PARENT
EMPOWERMENT**

This section calls upon each participating school to implement a parent training and involvement program designed to empower parents to make important contributions to their children's education.

1 Schools must prepare and disseminate to parents a written parent involvement plan, with input from parents, and, in the case of secondary schools, from students as well. The plan will become part of the school achievement plan. [§V(A)(2) and (B)].

2 The parent involvement program must include activities designed to achieve involvement of parents in the education of their own children (e.g., through family literacy programs, home-based educational activities, and parent education and training); to provide understandable information to parents on how to become involved at home and at school and on the requirements (e.g., standards, assessments) of Chapter 1; and to guarantee reasonable access to observe classrooms and to review all documents related to the school's and LEA's compliance with the Act. Each participating school also must report to parents on their children's progress, must provide training on how to work with parents to teachers and other staff, and must assure that information is communicated effectively to parents with limited literacy or English proficiency. [§V(B)].

3 LEAs must assure that participating schools comply with the parent empowerment requirements. LEAs are also asked to involve businesses and community-based organizations in parent involvement initiatives. [§V(A)(3)].

4 The section also establishes a network of federally funded Parent Information and Resource Centers. The Centers—one in each State, and five others to serve rural and urban areas—would be modeled after those established under the Individuals with Disabilities Education Act. The Centers' mandate would be to provide information, training, and other assistance to parents, particularly to low-income parents, of children enrolled in participating schools. [§V(C)].

SECTION VI

**HEALTH AND
SOCIAL SERVICES**

This section stems from a recognition that health and nutritional deficits, as well as other social problems, often prevent children from learning. The provisions of the section require States and school districts to identify health and other barriers to learning faced by children in participating schools and to take steps to bring low-income children and their families closer to obtaining the health and social services that are prerequisites to educational achievement.

1 Each State must prepare, on a two-year cycle, a plan to eliminate barriers to learning, which identifies barriers to learning faced by low-income children (including, e.g., poor health, poor nutrition, and inadequate housing). The plan must also identify measures to be taken to eliminate the barriers, including, for example, integration of services and co-location of health and social services at Chapter 1 schools. [§VI(B)(1)].

2 The State must widely disseminate this plan and involve a broad range of State agencies, LEAs, and others (including teachers and parents) in its preparation. [§VI(B)(2) and (3)].

3 Every two years, the State must issue a report card on progress made under the plan. [§VI(B)(4)].

4 Each LEA must report, on a two-year cycle, to the State on barriers to learning within its jurisdiction, on the extent to which efforts, including additional resources and interagency collaboration, might increase access to vital services, and on measures the LEA intends to take to ease or eliminate the barriers. [§VI(C)(1)].

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5 Each LEA must also ensure that all children attending participating schools are fully immunized upon entering school, are screened for health and other conditions that may impair learning, and are properly referred by school officials to appropriate services in the community. [§VI(C)(3)(a)].

6 LEAs are permitted to use Chapter 1 funds in carrying out their duties under this section (e.g., for screening and referral and to facilitate collaboration with other agencies) although Chapter 1 funds may not be spent on direct services to children and families. [§VI(C)(4)].



SECTION VII

ASSESSMENT

This section spells out the components of a new, three-pronged system of assessment. It is designed to replace the current system of norm-referenced tests, a system the Commission has found both to emphasize low-level skills and to be an ineffective measure of student achievement. Provisions now in the law authorizing use of these low-level tests would be repealed on the effective date of the reauthorization. [§VII(D)(3)].

1 Each school district and participating school will conduct *assessments to aid student progress*. These assessments will be controlled and administered by classroom teachers and will serve as an aid in assessing the progress of individual students in meeting the standards. This section also requires schools to explain the school's curriculum and forms of assessment to parents, students, and teachers and to report to parents on their children's progress toward meeting the standards. [§VII(B)].

2 As a second prong, the Framework calls on the Secretary of Education to report biannually to the Congress and the public on the effectiveness of the Chapter 1 program in achieving its goals for low-income children. In making this *assessment to evaluate Chapter 1*, the Secretary may rely on the National Assessment of Educational Progress (NAEP) or other assessments that are consistent with this Framework. These evaluations should lead to improvements in Chapter 1. [§VII(C)].

3 As a third prong, each State is required to develop and submit to the Secretary a set of *assessments for accountability purposes* that will gauge the progress of school districts and Chapter 1 schools in meeting the content standards established by the State. [§VII(D)(1)]. The key features of these new assessments will be:

- They will be conducted annually in all participating schools and with at least a sample of all students in the schools. [§VII(E)(1)(a)].
- They will be conducted at four grade levels: at completion of grade 1, at some point during grades 2-5, during grades 6-9, and during grades 10-12. [§VII(E)(1)(b)].
- The grade 1 assessments will measure oral language, emerging reading, and social skills. The assessments in the later grades will measure proficiency in subjects including reading, mathematics, writing, history, geography, and science and will measure the proportions of students who are "advanced," "proficient," "partially proficient," and "not proficient" in these subjects. [§VII(E)(2)].

4 The new assessments will be accompanied by safeguards, including requirements of validation to assure racial and gender fairness [§VII(D)(5)] and that limited-English-proficient students are assessed, to the extent practicable, in their language of instruction. [§VII(E)(2)(f)]. Other provisions would discourage retention of students in grade, require the assessment by the LEA of students who move from school to school over the course of the school year, and set terms for participation of disabled and limited-English-proficient students in the assessments. [§VII(E)(1)].

5 Prerequisites to the implementation of these assessments include: broad dissemination of information about the new standards and assessments to parents, teachers, and students; steps to revise and align the curriculum to the new standards; and implementation of staff development and school improvement initiatives to equip students with the ability to perform successfully on the assessments. [§VII(F)].

6 In administering assessment requirements, the Secretary of Education will be aided by the advice and guidance of a new Commission on Student Assessment (CSA) to be authorized by Congress and established by the National Academy of Sciences. The CSA will review all State-developed assessment systems and advise the Secretary whether they meet the criteria established under the law. CSA will also monitor and report on the implementation of the new assessment systems. [§VII(D)(6)].

SECTION VIII

ENFORCEMENT

This section describes the key elements of an outcome-based accountability system and the methods of enforcement that will be used to achieve its objectives.

1 Enforcement tools will not be dictated by the federal government but will be selected by the States largely from among remedies that often are already provided in their own laws and constitutions governing public education. Each State will be required to develop and submit to the Secretary of Education by 1996 an enforcement plan designed to assure school and school district compliance with the provisions of this Act and, significantly, to assure that within five years after completion of the first assessment, all participating schools will have made adequate progress in reaching required levels of proficiency. [§VIII(A)].

2 Adequate progress shall be defined by the Secretary of Education in regulations. It will call for an increase in the proportions of all students, and of all low-income students, who achieve at "proficient" or "advanced" levels. It will also call for a decrease in the proportions of all students, and of all low-income students, who are at the "not proficient" level. Adequate progress will be determined through assessments in a broad range of subjects. [§VIII(B)].

3 When schools make adequate progress, States may reward them with benefits, including greater decision-making authority; access to supplemental resources to sustain success or to serve larger numbers of children; and recognition, bonuses, and other benefits to staff. [§VIII(A)(5)(a)].

4 As to schools that fail to make adequate progress, the enforcement process initially will involve a series of graduated steps to be taken after a school is identified as failing, but before sanctions are imposed. This measured response—including technical assistance, consultations in the school community about corrective steps, and visits from an inspection team that can requisition any needed resources—should enable many schools to come into compliance without the imposition of sanctions. [§VIII(A)(4)].

5 Where school systems continue to fail, despite assistance, sanctions may include institutional penalties, such as loss of decision-making authority and, ultimately, closing the school, as well as individual penalties, such as reductions in pay and dismissal and/or transfer of the principal and other staff. [§VIII(A)(5)(b)].

6 In any event, parents whose children attend failing schools will have a right to transfer their children from failing to successful schools, with transportation provided where needed. This is a form of public school choice, but one that is tailored to the needs of disadvantaged students and that protects the vitality of public schools. [§VIII(A)(5)(c) and (f)].

7 Penalties will also be directed toward school districts that, as a whole, fail to make adequate progress; and these may include dismissal of the superintendent and other administrators; appointment of a receiver or trustee to administer the district in lieu of the superintendent and local school board; and annexation by other school districts. [§VIII(A)(5)(e)].

8 Rights under the Act will be secured by requiring states to provide an accessible administrative process for resolving complaints by parents, students, and teachers and by encouraging other informal methods of dispute resolution. Parents and teachers may also initiate legal action in federal court to enforce many of the Act's provisions. [§VIII(A)(6)].

SECTION IX

RESEARCH, DEVELOPMENT, EVALUATION, AND DISSEMINATION

This section provides for a portion of the Chapter 1 appropriation to be reserved by the Secretary of Education for the purpose of funding research, development, and evaluation.

It also provides for dissemination of information on effective practices and strategies for the education of economically disadvantaged children. Changes in educational systems brought about as a result of this legislation will also be evaluated. [§IX].

The Commission members listed below submitted supplementary statements concerning the Framework. They appear in the Commission's full report.

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Publication Produced by:

PAULA L. DELO

Director of Public Information

Council of Chief State School Officers

Designed by:

DEVER DESIGNS

Laurel, Maryland

Printed by:

OMNIGRAPHICS INC.

Hyattsville, Maryland

Photographs by:

SUSIE FITZHUGH

Baltimore, Maryland

Cover page; Part IV page

MARK REGAN

Reston, Virginia

Part I, Part II, Part III pages;

pages 18, 20 and 22

Cover photo:

CHILDREN'S DEPARTMENT, ENOCH

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